

Headquarters
US Army Armor Center and Fort Knox
Fort Knox, Kentucky 40121-5000
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Civilian Personnel

PERFORMANCE MANAGEMENT

Summary. This regulation prescribes policies and procedures for administering the Total Army Performance Evaluation System (TAPES), which replaces the Pass/Fail Performance Appraisal Program. This regulation gives instructions on the development and administration of performance standards and the use of related forms (DA Form 7222, Senior System Civilian Evaluation Report; DA Form 7222-1, Senior System Civilian Evaluation Report Support Form; DA Form 7223, Base System Civilian Evaluation Report; and DA Form 7223-1, Base System Civilian Performance Counseling Checklist/Record).

Applicability. This regulation applies to civilian employees in the competitive and excepted service who are paid from appropriated funds and are assigned to organizations serviced by the Fort Knox Civilian Personnel Advisory Center (CPAC). It also applies to all military and civilian supervisors of such employees. This regulation does not apply to positions for which employment is not reasonably expected to exceed 120 days in a consecutive 12-month period. For bargaining unit employees, refer to the Labor Management Agreement (LMA) also.

Suggested Improvements. The proponent of this directive is CPAC. Users are invited to send comments and suggested improvements on DA Form 2028 (Recommended Changes to Publications and Blank Forms) through channels to Commander, USAARMC, ATTN: ATZK-CP.

* This regulation supersedes Fort Knox Regulation 690-6, 20 March 1995; and rescinds Fort Knox Regulation 690-14, 19 December 1997.

TABLE OF CONTENTS

	Paragraph	Page
General	1	1
Rating Cycle	2	1
Details and Temporary Promotions	3	1
Procedures	4	2
Establishing Goals/Objectives	5	2
Approval of Goals/Objectives	6	3
Performance Counseling (Face-to-Face Discussions)	7	3
Performance Improvement Plans (PIP)	8	3
Employee Input	9	4
Rating Process	10	4
Values	11	4
Review/Approval	12	4
Dissatisfaction with Ratings	13	5
Awards	14	6
Rating Periods	15	6
Special Appraisals	16	7
Additional Guidance	17	8
Probationary or Trial Period Appraisals	18	8
Appendix A Significant Dates in the TAPES Performance Appraisal Cycle		A-1
Appendix B Standards Development		B-1
Appendix C Rating Process Checklist		C-1
Appendix D Rating Criteria		D-1

1. General:

a. The Total Army Performance Appraisal System (TAPES) is divided into two segments:

(1) The Senior System applies to all employees, WS/GS-9 and above, including all GM employees and all interns, regardless of grade.

(2) The Base System covers all employees at grades WS/GS-8 and below and all WG/WL employees.

b. The success or failure of TAPES depends upon the following:

(1) Open communication between all of the parties involved, both up, down, and across the organization.

(2) The relationship of individual performance goals and objectives to the organizational goals/objectives.

(3) The relationship of an employee's goals/objectives to their supervisor's goals/objectives.

(4) Accuracy of position descriptions.

2. Rating Cycle: The TAPES rating cycle for all employees is from 1 November through 31 October. Performance standards/objectives should be in place by 1 December, and any changes to the performance standards/objectives need to be made and documented by 3 July. Mid-point face-to-face discussions need to be completed on or about 1 May. If the supervisor or employee leaves their position on or after 4 July, an early annual appraisal must be completed as of the date of departure.

3. Details and Temporary Promotions:

a. The minimum amount of time that an employee must be assigned to a position or a set of duties before they can receive a special performance rating is 120 days. Therefore, management must ensure that performance standards or objectives are in place for employees who have been detailed or temporarily promoted out of their permanent position for at least 120 days. Upon completion of a detail or temporary promotion of at least 120 days, management will complete a special appraisal, which will be forwarded to the supervisor of the employee's permanent position and considered when the annual appraisal is completed.

b. Performance during a detail or temporary promotion of less than 120 days should be considered when completing the annual appraisal.

4. Procedures: The first step in developing performance standards/objectives under TAPES is to review the goals and objectives of the organization; the goals/objectives for the upcoming (or current) rating period of the supervisor (including commanders/directors), and the job description to which the employee is assigned. Accuracy of the job description is critical in this process because it forms the basis for work assignments and thus the goals and objectives that the employee needs to achieve during the rating period. If the job description is inaccurate, or if management intends to change or modify an employee's work assignments, the job description shall be updated and submitted to CPAC as soon as possible. (Within 30 work days of the decision to change it for bargaining unit employees). If an employee has questions regarding the position description that are not satisfactorily resolved by the first line supervisor, these questions may be referred in writing through the rating chain before the performance standards/objectives are validated. This does not circumvent normal grievance procedures.

5. Establishing Goals/Objectives:

a. Meeting with Employees. In order to ensure that all parties share the same understanding of the goals/objectives and standardized performance standards, management may want to meet with their employee(s) and review work assignments, the organizational goals and objectives, and their own goals and objectives for the coming or current rating period. The standard Army Performance Standards on the Performance Counseling Support Form (DA Form 7222-1 or 7223-1) need to be reviewed to ensure that all parties have the same understanding of what they mean. This step may be done individually or with a group of employees.

b. Information for Employees. At this point, all employees should be provided a copy of the written organizational goals, the mission requirements, the employee's job description, and the rating chain 5 working days before initial individual face-to-face discussion and development of individual standards/objectives. NOTE: This information and notice must be provided to bargaining unit employees; it is optional for all others.

c. Senior System Goals/Objectives. During this period, Senior System employees should develop their proposed goals/objectives for the coming rating period and draft their summary of the assigned job description for Parts IVa and b of the DA Form 7222-1, Senior System Civilian Evaluation Report Support Form.

d. Base System Requirements. Base System employees should write down, or at least be ready to discuss, their ideas about performance expectations and requirements. Any written input provided by a Base System employee must be considered as part of the evaluation process.

e. Discussion of Standards/Objectives and Army Values. The next step is for management to meet with individual employees and determine what the goals/objectives will be for the upcoming rating period, document these on the appropriate form, and discuss the Army values

with the employee. (Bargaining unit employees may request a union representative be present at this meeting.) If the employee and the rater disagree on what is expected for "Success" in the position, they need to discuss their views until both are clear on what is required. Even if the employee disagrees with the requirements, they must understand what is expected. Any employee questions regarding the performance plan may be referred, in writing, to the rating chain.

6. Approval of Goals/Objectives:

a. The goals/objectives shall be reviewed and approved by the rating chain. Performance plans become effective on the day the Senior Rater approves them. If a Senior Rater is not utilized, the effective date is the day they are approved by the rater. The employee shall initial and date the Support Form and return it to the supervisor. The date that the Rater signs the goals/objectives is their effective date. Goals/objectives must be in place for a minimum of 120 days from the date that the Rater signs them before an annual rating can be completed. The decision to use a Senior rater is discretionary, but will be the same throughout each major command, e.g., Recruiting Command may elect to have no Senior rater and MEDDAC may elect to have Senior raters.

b. The supervisor of a Base System employee retains the original for documentation of mid-point and other face-to-face discussions. A copy of the completed, signed, and dated form shall be given to the employee for their information and use during the rating period.

c. Supervisors of Senior System employees shall give the original to the employee and retain a copy for their records.

7. Performance Counseling (Face-to-Face Discussions): Supervisors and employees need to keep the lines of communication open. Discuss performance, good and bad, what's going well or needs to be improved. (Bargaining unit employees shall be provided a copy of any documents regarding their performance that are used during these discussions.) If there is a problem, find out the cause, i.e., is additional training needed; does the employee understand what is expected; are tools/resources required to accomplish the work available? Keep the communication channels open so that both know what is expected and what is being produced. There should be no surprises to either the supervisor or the employee when it is time for the mandatory mid-point face-to-face discussions. As a minimum, the mid-point face-to-face discussion will be documented on the Performance Counseling Support Form.

NOTE: The Counseling Support Form does not have to go back through the rating chain unless the standards/objectives are significantly modified during the rating period.

8. Performance Improvement Plans (PIP): If the employee's performance does not meet "Success" Level 3 (Fully Successful), management will consult with the appropriate CPAC

personnel advisor for guidance on how to initiate a PIP. The employee must have sufficient opportunity to complete the requirements of the PIP before an assignment of a "Fails" rating to any goal/objective. The PIP must include specific information for an individual to recognize the portion(s) of the objectives or standard(s) requiring improvement and what improvement is sufficient to receive a fully successful rating.

9. Employee Input: At the end of the rating period employees will be asked to provide written input into their performance appraisals. For Senior System employees, there is a block on the Performance Worksheet that is designed to accommodate this input (Block IVc, DA Form 7222-1). Senior System employees should also ensure that they have performance objectives. Base System employees may document their input on plain bond paper. This will become part of the evaluation process. Management must consider any written employee comments when completing the appraisal itself.

10. Rating Process: At the end of the rating period the supervisor (rater) shall consider:

- a. The documented objectives and responsibilities;
- b. Any available documentation of an employee's performance; and
- c. The employee's input on their accomplishments, when determining the rating.

Each objective/responsibility needs to be evaluated against the appropriate standardized DA performance standards and a rating assigned for each objective/responsibility. Bullet comments will be provided for each rating other than "Success." Comments are encouraged for "Success" ratings. (See appendix C.)

11. Values: Part V, Values, on the evaluation form will be used to document positive aspects of the employee's contributions and may reflect characteristics that do not necessarily result in work output, but contribute to the overall efficiency/effectiveness of the work unit.

12. Review/Approval: After the Rater completes the evaluation, it is presented to the employee. The utilization of a Senior Rater and an Intermediate Rater is optional (per paragraph 6a) except in the situation in which an employee fails one or more of the objectives/responsibilities. In that situation, the Senior Rater must review the rating assigned by the Rater. If an Intermediate Rater and/or Senior Rater were utilized, the following would apply.

- a. If there is an Intermediate Rater that person reviews the documents and the assigned ratings and compares them with any personal knowledge or observations they may have of the employee's work.

(1) If the Intermediate Rater agrees with the Rater's proposed rating, they will sign and date the appropriate block of Part II of the evaluation form and forward it to the Senior Rater.

(2) If the Intermediate Rater disagrees with the proposed rating, they will try to work it out with the Rater; and if they cannot resolve their differences, both views will be provided to the Senior Rater for decision.

(3) In any event, the Intermediate Rater must sign and date the evaluation before forwarding it to the Senior Rater.

b. The Senior Rater reviews the documents and the assigned ratings and compares them with any personal knowledge or observations they may have of the employee's work.

(1) If the Senior Rater agrees with the Rater's proposed rating, they will check the appropriate OVERALL PERFORMANCE RATING using the definitions contained in Appendix D and write bullet comments on the Ratee's performance and/or potential.

(2) If the Senior Rater disagrees with the Rater's proposed rating, they will discuss this with the Rater. If the disagreement is not resolved, the Senior Rater directs or makes necessary changes to the Objectives/Responsibilities ratings and comments/examples. The appropriate Overall PERFORMANCE RATING is assigned and bullet comments are entered on the document.

(3) For Senior System appraisals, the Senior Rater shall complete the Senior Rater profile which reflects annual ratings assigned to all employees at the same grade, e.g. GS-12, for the current rating period. Totals are recorded in the blocks provided.

(4) The evaluation is signed and dated and returned to the Rater for discussion with/ signature of the employee.

13. Dissatisfactions with Ratings:

a. Fort Knox bargaining unit employees who are dissatisfied with an objective rating or their overall performance rating which is not resolved through discussion with the rating chain, may request a review by the Performance Evaluation Panel per Article 60 of the Labor Management Agreement (LMA).

b. Nonbargaining unit employees present their dissatisfactions through the Administrative Grievance System, DOD 1400.25-M.

14. Awards:

a. If management wants to nominate an employee for a Performance Award or a Quality Step Increase based upon the performance appraisal, the employee should not be informed that they are being considered for an award until it is processed and approved through all channels.

b. Completed award nominations must be forwarded to CPAC within 30 days of the date the Rater signs the appraisal.

15. Rating Periods: Annual rating periods normally cover 1 year, but must cover at least 120 days. Ratees cannot be rated until they perform under approved performance standards/objectives for at least 120 days.

a. Shortened Rating Periods. Ratees usually receive annual appraisals for periods of less than 1 year under the following circumstances:

(1) The Ratee enters a position after the rating cycle begins, provided there are at least 120 days before the annual rating period ends.

(2) A Ratee who was reduced in grade or reassigned because of an "Unsuccessful" (Level 5) performance rating has worked under a performance plan for 120 days or more in the lower-graded position. (Until the Ratee is rated in the new position, their current rating of record is a presumed "Successful" Level 3.)

(3) The Rater leaves within 120 days from the end of the Ratee's annual rating period.

(4) The Ratee leaves the position within 120 days from the end of their annual rating period.

(5) The Ratee is serving in a position to which temporarily promoted and has been promoted into the position for at least 120 days when the annual rating cycle ends. In this case, the Rater of the position to which temporarily promoted prepares the annual appraisal. Performance for the current rating period before the temporary promotion may be assessed in a Special appraisal that is attached to the Annual appraisal.

b. Extended Rating Periods. Rating periods are extended usually to allow a Ratee to work the minimum 120-day rating period in a position under an approved performance plan before being appraised. Examples of when a rating period might be extended follow. In these cases, a rating of record should be prepared as soon as the employee works for 120 days under an approved performance plan.

(1) The Ratee was on long-term training in a classroom environment and did not work under an approved performance plan for 120 days during the rating period.

(2) The Ratee was on extended sick leave and did not complete 120 days of the cyclic rating period under an approved performance plan.

(3) The Ratee is on a PIP.

(4) The Ratee is in a notice period for proposed disciplinary or adverse action based upon an offense that, if sustained, will have direct impact on the performance appraisal.

c. Impact of Revised Performance Plans on Rating Periods. Rating periods generally are not extended because a performance plan is revised less than 120 days before the end of the rating period. In such cases, original plans can be applied or the Ratee can be appraised against only these new expectations which they had reasonable opportunity to either complete or make satisfactory progress as defined in the performance plan, e.g., a short-term project or a long-term project with specific milestones.

16. Special Appraisals:

a. General.

(1) Ratees who are detailed, temporarily promoted, or otherwise assigned away from their normal duties for 120 consecutive days or more during their annual rating cycles will receive performance standards/objectives and Special appraisals for the period during which they are temporarily assigned. The rating chain in preparing the Annual appraisal should consider information provided in Special appraisals.

(2) Special appraisals have the same requirements for performance standards/objectives, authentication, and assignment of overall performance rating as do rating of record. Special appraisals and performance standards/objectives for details and temporary promotions are not sent to the CPAC when they are completed. They are attached to Annual appraisals and filed in the Employee Performance File (EPF) with the Annual appraisal.

(3) Due Dates. Special appraisals should be completed as soon as possible after the end of the special rating, but at least within 30 days of the end of the temporary assignment.

b. Departure of Raters. Raters who leave their positions will issue Special appraisals for all Ratees under their supervision who have been under approved performance standards/objectives for at least 120 days.

NOTE: Departing supervisors will issue Annual appraisals for those Ratees who have 120 days or less remaining in their current rating periods.

c. **Departure of Ratees.** Ratees who leave their positions to accept other Federal positions after completing at least 120 days under approved performance standards/objectives should receive Special appraisals to provide to their gaining supervisors.

NOTE: Special and Annual appraisals are not required if they would serve no purpose to Army or the Ratee; e.g., the employee is retiring or accepting employment with a private firm.

d. **Acceptable Level of Competence (ALOC) Decisions.** If a GS employee's most recent rating of record does not reflect the employee's current level of performance and support an appropriate ALOC determination to grant or deny a Within Grade Increase (WIGI), the rating chain should issue an appraisal (rating of record). If the appraisal (rating of record) is used to deny a WIGI, a copy of the appraisal should be included in the adverse action file.

17. Additional Guidance:

a. Special or other types of written appraisals transferred from other Federal agencies or Army activities should be attached to Annual appraisals. The information provided must be considered by the rating chain in preparing the annual rating.

b. If a Ratee spends most of a rating period on detail and there are less than 120 days left in the rating period, the rating chain will convert the Special appraisal to an early Annual appraisal by completing the administrative data (Part I on the DA Form 7222 or 7223), referencing the attached Special appraisal, indicating that it is accepted as the rating of record, and signing the Evaluation Report in Part II as appropriate (e.g. Rater, Senior Rater, Ratee).

18. Probationary or Trial Period Appraisals:

a. New employees enter their regularly scheduled Annual rating periods based on their pay plan and grade. Raters should begin monitoring new employees immediately to determine if they are willing and able to perform the work and are otherwise suited for retention in their positions. Although formal PIPS are not required for Ratees who are serving probationary appointments, Raters normally should provide Ratees who are not meeting expectations with enough information to help them understand how they are failing and how they might improve. Upon determination that probationary Ratees either will not or cannot meet expectations, Raters must begin action to terminate them from their positions and/or from Federal Service. (NOTE: Ratings of "Successful" Level 3 or higher rendered early during probationary or trial periods do not preclude subsequent decisions that Ratees are not performing at expected levels or otherwise suitable to be retained. However, Raters should be able to provide specific examples either of how performance and/or conduct deteriorated after the rating was assigned or how the conduct used to support the termination was unrelated to the performance appraisal.)

b. Employees serving probationary periods for initial appointments to supervisory/managerial positions who do not meet expectations set forth in performance plans that relate to supervisory/managerial responsibilities will be returned to nonsupervisory/nonmanagerial positions. That decision can be made at anytime during the 1-year probationary period. Although formal notice and opportunity to improve are not required, supervisors generally should provide at least enough information so that the Ratee understands specific deficiencies in time to try to make corrections. (NOTE: "Successful" Level 3 or higher Overall Performance Ratings rendered early during the supervisory/managerial probationary period do not preclude subsequent decisions that individuals are not successfully performing the supervisory/managerial aspects of their positions. However, Raters should be able to provide specific examples of deficiencies that occurred after the rating was rendered.) A Special appraisal used to return a probationary manager/supervisor to a nonmanagerial/nonsupervisory position need address only failure to meet expectations pertaining to supervision or management. This appraisal must be coordinated with your CPAC personnel advisor.

c. Decisions to remove probationary employees may be made at anytime during the probationary period. Raters should consult with their servicing CPAC personnel advisor when reaching such a decision.

FOR THE COMMANDER:



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APPENDIX A

SIGNIFICANT DATES IN THE TAPES PERFORMANCE APPRAISAL CYCLE

EVENT

RATING PERIOD
STARTS

1 NOVEMBER

OBJECTIVES MUST BE
SIGNED/DISCUSSED

1 DECEMBER

MID-POINT FACE-TO-
FACE DISCUSSION

1 MAY

LAST DAY TO REVISE
OBJECTIVES

3 JULY

EARLY APPRAISAL
PERIOD

4 JULY -
30 OCTOBER

END OF RATING
PERIOD

31 OCTOBER

APPRAISALS DUE
IN CPAC

30 NOVEMBER

APPENDIX B STANDARDS DEVELOPMENT

Step 1. Review organizational goals and objectives.

Step 2. Supervisor develops own goals and objectives for the upcoming period.

Step 3. Optional: Meet with employee, review work assignments, organizational goals and objectives, supervisor's goals and objectives, and review army standardized standards.

Step 4. Review job description for accuracy; if not accurate, submit changes to CPAC as soon as possible. (Within 30 days for bargaining unit employees.)

Step 5. Notify employee 5 days before scheduled standards face-to-face discussion. Provide employee written organizational goals and objectives, copy of supervisor's support form, job description, copy of rating chain and a blank copy of the employee's support form. (Bargaining unit employees have a right to request union representation at this time for the face-to-face discussion.)

Step 6. Date of scheduled meeting discuss/develop standards/objectives and how they relate to Army values and ethics.

NOTE: Supervisors should request input from base system employees while developing performance standards/objectives and any written input will be retained with the performance plan. (Supervisors of bargaining unit employees must request input.)

Step 7. Once goals and objectives are understood, forward for approval through rating chain if utilizing an intermediate and/or senior rater.

Step 8. The standards become effective the date the rater signs and dates the support form. Note: If a senior rater is utilized, the effective date is the date they are approved by the senior rater.

Step 9. Under TAPES the base system employee receives a copy of all documents and support form, while senior system employees retain the original support form.

APPENDIX C
RATING PROCESS CHECKLIST

Step 1. (a) Gather information from employees on goals and objectives completed during rating period.

(b) Solicit input from ratee of other accomplishments related to performance.

Step 2. Use support form and any other documentation submitted by rater in deriving evaluation.

Step 3. Use criteria in Appendix D for rating objectives or goals. If no intermediate and/or senior rater is utilized, go to step 5.

Step 4. If intermediate and/or senior rater is utilized, forward evaluation and support forms to the next level for review and/or approval (intermediate rater is optional). Otherwise, rater assigns rating in step 3 and this step is ignored.

Step 5. Overall rating is assigned. If intermediate and/or senior rater is utilized, senior rater reviews support form and objective ratings with other documentation. If in agreement, uses definitions in Appendix D to assign overall performance rating. If in disagreement with ratings, attempts to resolve. If resolution cannot be affected, directs or makes necessary changes.

Step 6. If intermediate and/or senior rater is utilized, returns completed rating to supervisor for discussion and signature of employee. If no intermediate and/or senior rater is utilized, rater discusses with employee and obtains employee's signature.

Step 7. Gives employee copy of all documents, and submits originals to CPAC within 30 days of the end of the rating period.

APPENDIX D RATING CRITERIA

Excellence - consistently exceeds level described by standards and documented expectations; frequently produces more and/or better than expected.

Success - usually performs at level described by the standards and documented expectations. Quality/quantity of accomplishments are generally at expected levels. Strengths clearly out-weigh weaknesses.

Needs improvement- sometimes performs at level described by standards and documented expectations. However, fails enough so that weaknesses slightly out-weigh strengths.

Fails - frequently fails to perform at level described by the standards and documented expectations. Rarely achieves expected results. Weaknesses clearly out-weigh strengths.

BASE SYSTEM OVERALL PERFORMANCE RATING DEFINITIONS

Successful level 1 - ratee with no supervisory duties is rated excellence in 3 or more of the nonsupervisory responsibilities and success in the remaining nonsupervisory responsibilities. Ratee with supervisory duties is rated excellence in four or more responsibilities – one must be either supervision/leadership or EEO/AA; and success in the remainder. (This is level 5 in 5 CFR 430.)

Successful level 2 - ratee with no supervisory duties is rated excellence in either one or two of the nonsupervisory responsibilities and success in the remaining nonsupervisory responsibilities. Ratee with supervisory duties is rated excellence in either two or three responsibilities - one must be either supervision/leadership or EEO/AA; and success in the remainder. (This is level 4 in 5 CFR 430.)

Successful level 3 - ratee with no supervisory duties is rated success in all rated responsibilities. Ratee with supervisory duties is rated excellence in one or more nonsupervisory responsibilities but success in both supervision/leadership and EEO/AA or who is rated success in all nonsupervisory responsibilities and excellence in either supervision/leadership or EEO/AA. (This is level 3 in 5 CFR 430.)

Fort Knox Reg 690-6 (28 May 02)

Fair – ratee is rated needs improvement in 1 or more responsibilities and not rated fails in any responsibility. (This is level 2 in 5 CFR 430.)

Unsuccessful – ratee is rated fails in 1 or more responsibilities – regardless of ratings assigned remaining responsibilities. (This is level 1 in 5 CFR 430.)

SENIOR SYSTEM OVERALL PERFORMANCE RATING DEFINITIONS

Successful level 1 – ratee with no supervisory duties is rated excellence in 75 percent or more of objectives and success in remaining objectives. Ratee with supervisory duties also must be rated excellence on 75 percent or more of all objectives – which must include excellence ratings for either organizational management/leadership objective(s) or EEO/AA objective(s) – and success in others. (This is level 5 in 5 CFR 430.)

Successful level 2 – ratee with no supervisory duties is rated excellence in 25-74 percent of rated objectives and success in remaining objectives. Ratee with supervisory duties also must be rated excellence in 25-74 percent of all objectives – which must include excellence ratings for either organizational management/leadership objective(s) and success in others. (This is level 4 in 5 CFR 430.)

Successful level 3 – all ratees who are rated success in all rated objectives or excellence in 1 percent through 24 percent and success in remaining objectives. Ratees with supervisory duties who were rated excellence in any number of objectives but success in those for both organizational management/leadership and EEO/AA. (This is level 3 in 5 CFR 430.)

Fair – all ratees who are rated needs improvement in 1 or more objective(s) and not rated fails in any objective. (This is level 2 in 5 CFR 430.)

Unsuccessful – all ratees rated fails in 1 or more objective(s) – regardless of ratings assigned other objectives. (This is level 1 in 5 CFR 430.)